32692
Customer Number

Patent
Case No.: 58512US004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

| | | | |
|---|---|---|---|
| First Named Inventor: | WENDLAND, MICHAEL S. | | |
| Application No.: | | Group Art Unit: | Unknown |
| Filed: | | Examiner: | Unknown |
| Title: | AZLACTONE PHOTOINIFERTERS FOR RADICAL POLYMERIZATION | | |

## INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**Filing of Papers and Fees by Express Mailing**
Pursuant to 37 § CFR 1.10, the documents and fees listed on this transmittal letter are being deposited on the date indicated below with the United States Postal Service "Express Mail Post Office to Addressee" service addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
Express Mail Label No. EL 982744824US
Date APR 12 2004 Signed by: Hylis H. Froelke

Dear Sir:

Pursuant to 37 CFR §§ 1.56, 1.97, and 1.98, enclosed is a completed Form PTO-1449, citing references submitted for consideration by the Examiner. Copies of any cited foreign patents, non-patent literature, and unpublished US application documents are enclosed. Pursuant to the waiver in the Pre-OG Notice, dated July 11, 2003, copies of US patents and published US patent applications are no longer required and are not enclosed. It is respectfully requested that the Examiner initial and return the enclosed Form PTO-1449 to indicate that each reference has been considered.

It is believed that no fee is due; however, in the event a fee is required, please charge the fee to Deposit Account No. 13-3723.

Respectfully submitted,

April 9, 2004
Date

By: _____
Kent S. Kokko, Reg. No.: 33,931
Telephone No.: (651) 733-3597

Office of Intellectual Property Counsel
3M Innovative Properties Company
Facsimile No.: 651-736-3833

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)



| | |
|---|---|
| **Application Number** | |
| **Filing Date** | |
| **First Named Inventor** | **Michael S. WENDLAND** |
| Art Unit | |
| Examiner Name | Unknown |
| Attorney Case Number | 58512US004 |

**U.S. Patent Documents**

| Exam. Init.* | Cite No. | Document Number<br>Doc. Number-(Kind Code if Known) | Publication Date or Issue Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|---|---|---|---|---|---|
| | A1 | US- 5,093,385 | 03/03/1992 | Ali | |
| | A2 | US- 5,763,548 | 06/09/1998 | Matyjaszewski et al. | |
| | A3 | US- 6,143,848 | 11/07/2000 | Lee et al. | |
| | A4 | US- 6,153,705 | 11/28/2000 | Corpart et al. | |

**Foreign Patent Documents**

| Exam. Init.* | Cite No. | Foreign Patent Document<br>Ctry. Code | <br>Number-KindCode (If known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | Translation (Check if yes) |
|---|---|---|---|---|---|---|---|
| | B1 | EP | 0 286 376 B1 | 03/10/1993 | | | |
| | B2 | EP | 0 349 232 A2 | 01/03/1990 | | | |
| | B3 | EP | 0 349 270 A2 | 01/03/1990 | | | |
| | B4 | EP | 0 434 335 A2 | 06/26/1991 | | | |
| | B5 | WO | 02/26836 A2, A3 | 04/04/2002 | | | |
| | B6 | WO | 97/18247 | 05/22/1997 | | | |
| | B7 | WO | 99/31144 | 06/24/1999 | | | |

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

| Exam. Init.* | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published |
|---|---|---|
| | C1 | A. ŠEBENIK, "Living Free-Radical Block Copolymerization Using Thio-Iniferters", Prog. Polym. Sci., (1998), pp. 875-917, Vol. 23 |
| | C2 | "Polyazlactones", Encyclopedia of Polymer Science and Engineering, (1988), pp. 558-571, Vol. 11, 2nd Edition, John Wiley and Sons |
| | C3 | S. M. HEILMANN, "Chemistry and Technology of 2-Alkenyl Azlactones", Journal of Polymer Science: Part A: Polymer Chemistry, (2001), pp. 3655-3677, Vol. 39, John Wiley and Sons, Inc. |
| | C4 | Y. K. (Bill) CHONG, "A More Versatile Route to Block Copolymers and Other Polymers of Complex Architecture by Living Radical Polymerization: The RAFT Process", Macromolecules, (1999), pp. 2071-2074, Vol. 32, American Chemical Society |
| | C5 | M. FREEMANTLE, "In Control of a Living Process", Chemical and Engineering News, (September 9, 2002), pp. 36-40 |
| | C6 | G. B. FIELDS et al., "Solid Phase Peptide Synthesis Utilizing 9-fluorenylmethoxycarbonyl Amino Acids", International Journal of Peptide & Protein Research, (1990), pp. 161-214, Vol. 35 |

| *Examiner: | Date Considered: |
|---|---|
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT<br>(Use as many sheets as necessary)<br>Page 2 of 2 | | |
|---|---|---|
| | **Application Number** | |
| | **Filing Date** | |
| | **First Named Inventor** | **Michael S. WENDLAND** |
| | Art Unit | |
| | Examiner Name | Unknown |
| | Attorney Case Number | 58512US004 |

| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS | | |
|---|---|---|
| Exam. Init.* | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published |
| | C7 | G. B. FIELDS et al., Chapter 3, "Principles and Practice of Solid-Phase Peptide Synthesis", Synthetic Peptides: A User's Guide, G. A. Grant Edition, (1992), pp. 77-183, W. H. Freeman and Co., New York, NY |
| | C8 | T. OTSU et al. "Living Radical Polymerizations in Homogeneous Solution by Using Organic Sulfides as Photoiniferters", Polymer Bulletin, (April 1982), pp. 45-50, Vol. 7, No. 1 |
| | C9 | T. OTSU et al., "Living Mono- and Biradical Polymerizations in Homogeneous System Synthesis of AB and ABA Type Block Copolymers", Polymer Bulletin, (February 1984), pp. 135-142, Vol. 11, No. 2 |
| | C10 | T. OTSU, "Iniferter Concept and Living Radical Polymerization", Journal of Polymer Science, Part A: Polymer Chemistry, (June 15, 2000), pp. 2121-2136, Vol. 38, No. 12 |
| | C11 | T. DOI, "Radical Polymerization of Methyl Acrylate by Use of Benzyl *N,N*-Diethyldithiocarbamate in Combination with Tetraethylthiuram Disulfide as a Two-Component Iniferter", Journal of Polymer Science: Part A: Polymer Chemistry, (November 30, 1994), pp. 2911-2918, Vol. 32, No. 15 |
| | C12 | T. OTSU et al., "Features of Living Radical Polymerization of Vinyl Monomers in Homogeneous System Using *N,N*-Diethyldithiocarbamate Derivatives as Photoiniferters", European Polymer Journal, (1995), pp. 67-78, Vol. 31, No. 1 |

| *Examiner: | Date Considered: |
|---|---|
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |